Deliverable Expectation Document

CalWIN

EDS

Revised Date: 02/25/00 09:53 AM

RECORD OF CHANGES

Change Number	Brief Description of Change (include page numbers)	Date	Responsible Party
1.0	Created Deliverable Expectation Document Process document.	02/28/00	PMO

CalWIN Project

Deliverable Expectation Document (DED) Process

Executive Summary

Past large-scale system development projects have experienced difficulties when the deliverable does not meet the expectations or needs of the end user. The WCDS CalWIN Team and the EDS CalWIN Team have collaborated using best practices in project management to develop an approach that mitigates this risk. The first step is to document and gain approval on the expectations for each deliverable. This process is referred to as the Deliverable Expectation Document (DED) Process.

The DED documents the scope, specifications, work product format (deliverable), schedule, resources, risks, communication, financial considerations, quality assurance measures, and contract references associated with the deliverable. The process is flexible, as each deliverable may not proceed through every activity in the process. There will be joint agreement between the WCDS CalWIN Team and the EDS CalWIN Team prior to starting the DED process concerning the steps that will be followed for each individual deliverable.

Purpose and Scope

The purpose of this document is to provide a formal process for the creation and review of the Deliverable Expectation Document (DED).

Goals

The goals of this process are as follows:

- Establish expectations for a deliverable.
- Encourage collaboration between Project team members.
- Identify all requirements pertinent to the deliverable.
- Plan for the necessary resources to produce the deliverable.

Value

An Effective Deliverable Expectation Document process provides the following value to the Project:

- Participation from the WCDS CalWIN Project Team in the development of the DED ensures that the *Voice of the Counties* is heard up-front.
- Iterative reviews of the DED during development facilitate approval when the final DED is submitted.
- Establishment of deliverable expectations up-front increases the probability for County satisfaction and overall project success.

Applicable Policy, Standards, and References

- Deliverable Development, Review and Approval Process
- Requirements Management Policy
- Requirements Management Process
- The duration for the entire DED Process should not exceed the time allowed in the CalWIN Project Schedule.

Description

The Deliverable Expectation Document process involves the following activities:

1. Develop Draft DED
2. Review Draft DED
3. Incorporate Feedback Into DED
4. Submit DED for Approval
5. Revise Project Control Document (conditional)
6. Evaluate and Refine the Deliverable Expectation Document Process

Inputs

Work Product	Source	Status[1]	Internal/ External[2]	Entrance Criteria[3]
Information Technology Agreement	CalWIN Management Team	Complete	External	Y
ITP and Other CalWIN Requirements/Specifications	CalWIN Management Team	Complete	External	Y
Project Control Document	PMO	In Progress	External	Y

Outputs

Work Product	Recipient	Status[1]	Internal/ External[2]	Exit Criteria[3]
Comments/Resolution Matrix	WCDS CalWIN Project Manager	Complete	External	Y
Deliverable Approval Notice	EDS CalWIN Project Manager	Complete	External	Y
Deliverable Expectation Document (DED)	WCDS CalWIN Project Manager	Complete	Internal	Y
Deliverable Non-Approval Notice	EDS CalWIN Project Manager	Conditional	External	N
Deliverable Submittal Notice	WCDS CalWIN Project Manager	Complete	External	Y
Lessons Learned	CalWIN Project Team	Complete	External	Y
Project Control Document (updated)	PMO	In Progress	External	Y
Quality Assurance Review Notice	CalWIN Project Team	In Progress	External	N

[1]Status indicates the work product is either complete upon entry or exit from the process, or in-progress upon entry or exit from the process.

[2]Internal/External - Identifies if the work product is used for this process only (Internal) or used by other processes (External).

[3]An Entrance Criteria of "Y" indicates the work product is required to enter the process. An Exit Criteria of "Y" indicates the work product is required to exit the process.
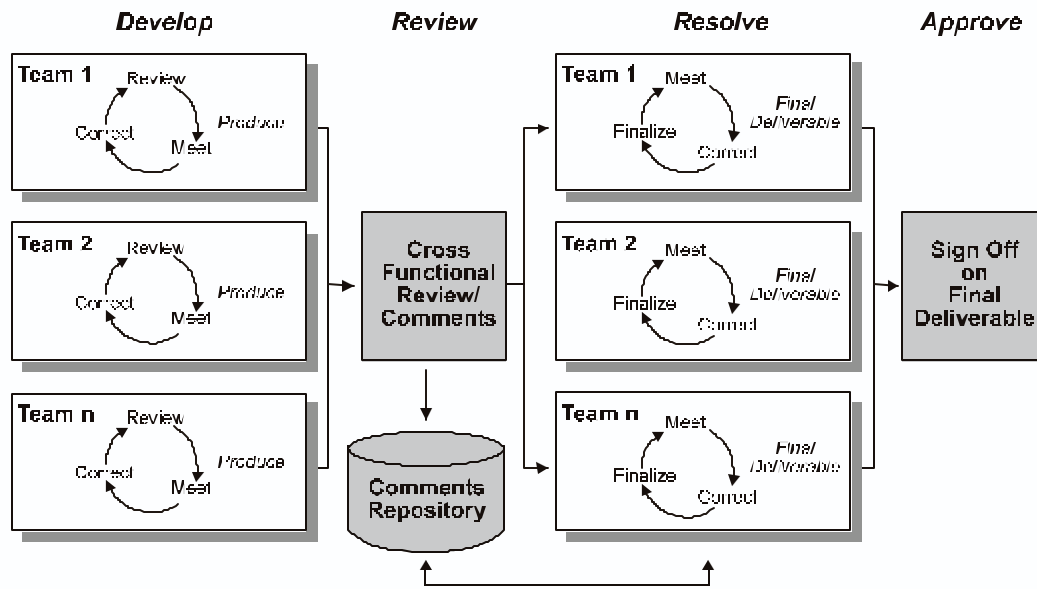
Roles and Responsibilities

The terms *role* and *agent* are used interchangeably in this process documentation. The agent identified with an asterisk (*) within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.

Roles	Responsibilities
EDS CalWIN Manager	• Distributes initial deliverable. • Coordinates changes to the Project Control Document based on an approved DED. • Facilitates evaluation of lessons learned and implementation of process improvements.
EDS CalWIN Project Manager	• Provides Deliverable Submittal Notice
EDS CalWIN Team	• Defines and document deliverable content, format, and scope in the DED. • Resolves all outstanding issues. • Determines resources needed for the Deliverable Development, Review and Approval process.
Program Management Office (PMO)	• Maintains Project Control Document (PCD).
Process Owner (PMO)	• Develops and executes plans for Deliverable Expectation Document process improvements/upgrades as necessary.
QA Team	• Conducts periodic Quality Assurance Reviews on the Deliverable Expectation Document process.
Technology Services	• Establishes and maintains the automated tool (see below), maintains the database, and ensures a secure and recoverable environment.
WCDS CalWIN Management Team	• Assigns initial deliverable for review. • Owns approval activity.
WCDS CalWIN Project Manager	• Provides Deliverable Approval Notice. • Provides Deliverable Non-Approval Notice (conditional).
WCDS CalWIN Team	• Ensures the DED represents the requirements/specifications. • Validates format, content and scope of deliverable are documented in the DED. • Provides comments and concerns on DED. • Collaborates to resolve issues. • Understands County resource needs for the Deliverable Development, Review and Approval process.

Tools

Tools	Purpose
Deliverable Expectation Document (DED) Template	• Common format
Comments Repository	• Mechanism to capture questions and concerns

Process Flow

Activities

1. Develop Draft DED

Purpose	To collaboratively develop the DED.

Description

1.1 Collaborate on DED Requirements

Prior to beginning work on a draft of the DED, a meeting between the WCDS CalWIN Team and the EDS CalWIN Team will take place to discuss initial expectations for the DED. The participants in this meeting will be specific to a given deliverable.

1.2 Create Draft DED

The EDS CalWIN Team, based on the input from the WCDS CalWIN Team, will produce the draft DED using the DED Template. The DED documents the scope, specifications, work product format, schedule, resources, risks, communication, financial considerations, quality assurance measures, and contract references associated with the deliverable. While a DED is being developed, a team may use several review and resolve iterations in order to complete the draft DED. This draft DED marks the completion of the Develop phase.

Inputs
- Deliverable Expectation Document (DED) Template
- Information Technology Agreement
- ITP and Other Project Requirements/Specifications
- Project Control Document

Outputs
- DED (draft)

Agents
- EDS CalWIN Team*
- WCDS CalWIN Team

Note: The agent identified with an asterisk (*) within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.

2. Review Draft DED

Purpose	To verify that the DED reflects the desired content and format of the deliverable.

Description

2.1 Distribute Draft Deliverable

The EDS CalWIN Manager will distribute the draft DED to the WCDS CalWIN Management Team.

2.2 Make Assignments for Review of DED

The WCDS CalWIN Management Team will make assignments for the review of the DED. The selection of reviewers is at the discretion of the WCDS CalWIN Management Team but should include team members who participated in the Develop phase.

2.3 Review Draft Deliverable

Reviewers will note any issues in the Comments Repository. All records within the Comments Repository will be mapped to requirements and classified for use within the Resolve phase.

Where appropriate, deliverable walkthroughs will be conducted to expedite the review process. The walkthrough will outline how the DED maps to the ITP and Information Technology Agreement requirements.

Inputs
- Draft DED
- Information Technology Agreement
- ITP and Other Project Requirements/Specifications

Outputs
- Comments Repository (updated)

Agents
- EDS CalWIN Manager
- WCDS CalWIN Management Team*
- WCDS CalWIN Team

Note: The agent identified with an asterisk (*) within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.

3. Incorporate Feedback into DED

Purpose	To resolve any issues and finalize the DED.

Description   **3.1 Resolve Outstanding Issues**

All outstanding issues and comments must be resolved during this phase. The CalWIN Project Team will use the Comments Repository to track issue resolution and incorporate the resolved issues into the final DED. The team will work collaboratively to resolve issues, including requests for additional clarification from comment owners. Resolution of a comment is defined as (1) solved and agreed or (2) identified as a risk with an associated mitigation plan. The artifacts for the Resolve phase are the final DED and the finalized Comment/Resolution Matrix from the repository.

Inputs
- Comments Repository (updated)

Outputs
- DED (final)
- Comment/Resolution Matrix

Agents
- EDS CalWIN Team*
- WCDS CalWIN Team

Note: The agent identified with an asterisk (*) within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.

4. Submit DED for Approval

Purpose To submit final DED and ascertain approval.

Description **4.1 Submit Final DED for Approval**

The EDS CalWIN Project Manager submits the final DED, along with the final Comment/Resolution Matrix and Deliverable Submittal Notice, to the WCDS CalWIN Project Manager for approval.

4.2 Approve or Disapprove Deliverable

The Approval process is owned by the WCDS CalWIN Management Team and concludes with a Deliverable Approval Notice submitted to the EDS CalWIN Project Manager by the WCDS CalWIN Project Manager. During this phase, the WCDS CalWIN Team will validate the DED for format and completeness. Based on the recommendation from the validation team, the WCDS CalWIN Project Manager will either approve or disapprove the DED.

If the DED is approved, the WCDS CalWIN Project Manager submits a Deliverable Approval Notice and the next step in the PCD will commence.

If the DED is disapproved, the WCDS CalWIN Project Manager submits a Deliverable Non-Approval Notice including a single consolidated list of all errors found in the DED. Any outstanding errors will be resolved in accordance with Section 3.2 of the Information Technology Agreement between the Counties and EDS and the DED resubmitted for approval.

Inputs
- DED (final)
- Comment/Resolution Matrix

Outputs
- Deliverable Submittal Notice
- Deliverable Approval Notice (conditional)
- Deliverable Non-Approval Notice (conditional)

Agents
- EDS CalWIN Project Manager
- WCDS CalWIN Management Team
- WCDS CalWIN Project Manager*
- WCDS CalWIN Team

Note: The agent identified with an asterisk (*) within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.

5. Revise Project Control Document (PCD) - conditional

Purpose	To keep the PCD in line with <u>**approved**</u> Deliverable Expectation Documents.
Description	**5.1 Make Changes to PCD** The EDS CalWIN Manager will coordinate the necessary changes to the PCD with the PMO. Such changes may include the Risk Plan, Project Schedule and Resource Plan.
Inputs	• DED (approved) • Project Control Document
Outputs	• Project Control Document (updated)
Agents	• EDS CalWIN Manager* • Program Management Office (PMO)

Note: The agent identified with an asterisk (*) within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.

6. Evaluate and Refine Deliverable Expectation Document Process

Purpose To identify lessons learned (successes, problems, and opportunities for improvement), implement process improvements, and ensure institutionalization of the process.

Description At the completion of the process a review will take place to identify lessons learned and improvement that can be made to the process. The Deliverable Expectation Document process will also be periodically reviewed according to the project's Quality Assurance Plan and using the Quality Assurance Process.

6.1 Evaluate lessons learned

Evaluation of lessons learned takes place at the completion of Activity 5 – Approve DED. The EDS CalWIN Manager will conduct a post-process review to determine lessons learned and identify improvements that can be made to the process. The EDS CalWIN Manager will forward the lesson learned to the QA Team for inclusion in the QA tracking and reporting tools.

6.2 Implement process improvements

Implementation of process improvements is the responsibility of the Process Owner. The EDS CalWIN Manager will forward process improvements identified during the evaluation of lessons learned to the Process Owner for incorporation into the process.

6.3 Review the process

A review of the Deliverable Expectation Document process will be conducted periodically by the QA Team using the project's Quality Assurance Plan and Process. QA reviews assure leaders that a project's activities and work products conform to the process, procedures, requirements, and standards. The QA process review findings also identify nonconformance that may put future projects at risk. The findings are collected over time and used as input to future process improvement efforts. See the QA Plan and QA Process for more details.

Inputs
- Deliverable Expectation Document Process
- Input from Individuals Involved in Process

Outputs
- Lessons Learned
- Deliverable Expectation Document Process (improved)
- Quality Assurance Review Notice

Agents
- EDS CalWIN Manager*
- Process Owner (PMO)
- QA Team

Note: The agent identified with an asterisk (*) within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.

Supporting Information

Usage and Tailoring Guidelines

In order to achieve the goals that were defined for this process, it is imperative that improvements are encouraged from throughout the CalWIN Project Team; but it is also imperative that these improvements are evaluated and implemented in a controlled manner. In order to accomplish this process, Activities 1 – Develop Draft DED through 6 - Evaluate and Refine Deliverable Expectation Document process must be performed. The Deliverable Expectation Document process must be adaptable to the unique needs of the WCDS CalWIN Organization projects and their particular situations, but the purpose of each activity must be achieved, regardless of the tailoring.

Metrics

The product and process metrics that will be collected for this work element are described in the following matrices.

Work Product Metrics

Metric	Frequency	Responsibility	Location

Process Metrics

Metric	Frequency	Responsibility	Location
Planned vs. Actual Duration: • Develop Phase • Review Phase • Resolve Phase • Approve Phase	Per DED	EDS CalWIN Manager	

Verification

The following items will be used as objective evidence that this process is being accomplished as documented:

- Comments/Resolution Matrix
- Deliverable Approval Notice
- Deliverable Non-Approval Notice
- Deliverable Submittal Notice
- Lessons Learned
- Quality Assurance Review Notice
- Others as documented in the QA Team review criteria for Deliverable Expectation Document process.